

STATE OF DELAWARE
SINGLE POINT OF CONTACT – SPOC
INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS
Office of Management and Budget
Haslet Building, 3rd Floor, Dover, Delaware 19901
(302) 739-4206

RECEIVED
OFFICE OF MANAGEMENT AND BUDGET

2009 JUL 9 PM 12 25

1. STATE APPLICATION IDENTIFIER:

S9-07-09-03

SPOC use ONLY

Month

07

Reviewer

mb

CC's

2. Applicant Project Title: Health Facilities Licensing and Certification, ARRA Funds

3. Applicant Department: Health and Social Services

4. Applicant Division/APU: 05 - Public Health

5. Applicant Address: 417 Federal Street, Dover, DE 19901

6. Contact Person: Mary Peterson

7. Contact Person's Phone Number: 302-995-8521

8. Signature of Secretary or Agency Head (for state agencies) or Chief Administrator (for all other applicants)

Karryl T. Rattay, MD, MS, FAAP, FACPM designee for Rita Landgraf, Secretary, Department of Health and Social Services

9. Federal Grantor Department: Department of Health and Human Services

10. Federal Sub-Agency: Centers for Medicare and Medicaid Services

11. Federal Contact Person: Louise Burton

12. Phone Number: 215-861-4249

13. Address: The Public Ledger Building, Suite 216
150 S. Independence Mall West, Philadelphia, PA 19106-3499

14. Federal Program Title:

ARRA Funds

15. FEDERAL CATALOG NO:
(CFDA)

93

777

16. Project Description:

- This program is aligned to the HHS Action Plan to prevent healthcare associated infections. It will significantly expand the awareness of proper infection control practices in ambulatory surgical centers; increase the extent to which infection control deficiencies are both identified and remedied; and prevent future serious infections in ambulatory surgical centers.

17. Will funds be utilized for any technology initiatives? ☐ Yes ☒ No If so, Business Case Number and brief project summary:

18. Measurable Objectives:

a. What were last year's objectives?

This is the first year for ARRA (stimulus) funding.

b. Were these objectives met? (If not, please explain why)

N/A

c. What are this year's objectives?

To survey 33% of all non-deemed/non-accredited ambulatory surgical centers in Delaware using an enhanced survey protocol.
Complete 3 additional ambulatory surgical center surveys and any follow-up visits using the enhanced survey protocol.

7/9/09

(If more space is needed, please attach a separate sheet of paper)

19. Grant Period:

From: 10/01/09

To: 09/30/10

20. How many years has this project been funded:

0

21. If the project was funded last year, how much federal money was awarded?

N/A

22. Source of funding for this application:

Dollars

a. Federal grant

b. Other federal funds
(Specify source of funding)

American Recovery & Reinvestment Act (ARRA)

\$24,544.23

c. Required state contribution
(Specify source of funding)

d. Discretionary state contribution
(Specify source of funding)

e. Required local contribution
(Specify source of funding)

f. Other non- federal funds
(Specify source of funding)

TOTAL

\$24,544.23

23. Budget by cost category and source:

Federal
Funds

State
Funds

Other
Funds

Total
Funds

Salaries & Fringe Benefits

\$19,149.77

\$19,149.77

Personal or Contractual Services

\$0.00

\$0.00

Travel

\$1422.00

\$1422.00

Supplies & Materials

\$107.73

\$107.73

Capital Expenditures

\$0.00

\$0.00

Audit Fees

\$48.99

\$48.99

Indirect Costs

\$1,407.30

\$1,407.30

Other *CU*

\$2,409.04

\$2,409.04

TOTAL

\$24,544.23

\$24,544.23

24. How many positions are required for the project? (Exclude casual/seasonal employees)

Breakdown of position(s)

Authorized in
State Budget

New Positions
Required

Total

Paid for out of federal funds

0.26

0.26

Paid for out of General Funds

0

0

Paid for out of state special funds

Paid for out of bond/local/other funds

TOTAL

0.26

0.26

25. PLEASE NOTE: On a separate piece of paper, please give position number, grade, yearly salary and percent of funding (federal, state, local, other) and the full-time equivalent for all positions required. Please identify the new positions by placing an asterisk before the position title. If this grant funds positions within other departments, divisions and/or offices, please list them. If a position has been reallocated to or from another grant please indicate the grant source.

Office of Health Facilities Licensing & Certification - ARRA - FFY10

BP NUMBER	POSITION TITLE	PAYGRADE	FTE'S		SALARY	
			STATE	FEDERAL	STATE	FEDERAL
2781	Health Facilities Compliance Officer	20	0.00	0.03	0.00	2,141.27
65990	Nursing Supervisor (CNS)	16	0.00	0.00	0.00	0.00
69628	Compliance Nurse	15	0.00	0.06	0.00	3,379.38
70559	Compliance Nurse	15	0.00	0.06	0.00	3,395.44
2808	Compliance Nurse	15	0.00	0.01	0.00	428.01
62792	Compliance Nurse	15	0.00	0.01	0.00	428.01
2870	Environmental Health Specialist III	15	0.00	0.05	0.00	2,300.29
	State Fire Marshal		0.00	0.04	0.00	1,305.00
SUB-TOTAL			0.00	0.26	0.00	13,377.40
FRINGE AT 26.06 %						3,486.15
HEALTH INSURANCE						2,283.52
TOTAL			0.00	0.26	0.00	19,147.07

DIVISION OF MANAGEMENT SERVICES
MAY 1993

DIRECTOR'S OVERVIEW

HEALTH FACILITIES LICENSING AND CERTIFICATION

FFY 2010 ARRA FUNDING REQUEST for TITLE XVIII NON-LONG TERM CARE PROGRAM

A. PROGRAM NARRATIVE

The Centers for Medicare & Medicaid Services (CMS) and States will improve quality assurance of Ambulatory Surgical Centers (ASCs) during FY 2010 by implementing a new survey process to promote better infection control practices.

In FY 2010 all State Survey Agencies (SAs) will be required to implement the improved survey process and to survey about one-third of the ASCs as a high (Tier II) priority. SAs may receive Recovery Act funding to offset the additional costs of these surveys.

ASCs have been the fastest growing type of institutional provider/supplier participating in Medicare, increasing in number by more than 38 percent between 2002 and 2007. ASCs currently account for 43 percent of all same-day surgery in the United States. When ASCs are inspected, deficiencies are often cited.

This program is aligned to the Department of Health and Human Services Action Plan to Prevent Healthcare Associated Infections (HAIs).

This initiative will significantly expand the awareness of proper infection control practices among ASCs, increase the extent to which infection control deficiencies are both identified and remedied, and prevent future serious infections in ASCs.

B. BUDGET COMPARISON

The budget includes funding for salaries and fringe benefits, travel, communications, supplies, training, membership in the Association of Operating Room Nurses (AORN) and all associated costs/fees at the State approved rate.

	FFY09 Requested	FFY09 Received	FFY10 Requested
Title XVIII (Medicare) Program	\$0/00	\$0.00	\$24,544.23

This program initiative is mandatory as part of the State contract with CMS. CMS will not make funding available through the normal budgetary process for this initiative. They have made the funding available, however, through the American Recovery and Reinvestment Act (ARRA). This funding is necessary to complete the certification work required.

C. RELATIONSHIP TO STATE BUDGET

No State match is required.

Office of Health Facilities Licensing Certification
CMS Non-Long Term Care + OASIS Program

LINE ITEM BUDGET SUMMARY - OHFLC - ARRA - FFY10

COST AREA	CURRENT YEAR			APPLICATION YEAR			PERCENT CHANGE		
	FEDERAL	STATE	TOTAL	FEDERAL	STATE	TOTAL	FEDERAL	STATE	TOTAL
Salary/Fringe	0	0	0	19,147.07	0	19,147.07	#DIV/0!	#DIV/0!	#DIV/0!
Personal/Contractual	0	0	0	0	0	0	0.0%	0.0%	0.0%
Travel	0	0	0	1,422.00		1,422.00	#DIV/0!	0.0%	#DIV/0!
Supplies	0	0	0	107.73		107.73	#DIV/0!	0.0%	#DIV/0!
Capital	0	0	0	0		0	#DIV/0!	0.0%	#DIV/0!
Purchase of Service	0	0	0	0		0	0.0%	0.0%	0.0%
Audit	0	0	0	48.99		48.99	#DIV/0!	0.0%	#DIV/0!
Indirect Cost	0	0	0	1,407.30		1,407.30	#DIV/0!	0.0%	#DIV/0!
Other	0	0	0	2,411.14		2,411.14	#DIV/0!	0.0%	#DIV/0!
TOTAL	0	0	0	24,544.23	0	24,544.23	#DIV/0!	#DIV/0!	#DIV/0!

ASC Planning and Information Form

SECTION I - IDENTIFYING INFORMATION

State: Delaware	Name of State survey agency Office of Health Facilities Licensing and Certification		
Director: State survey agency director name: Mary Peterson			
Telephone: 302-995-8521		FAX: 302-995-8529	
E-mail: mary.peterson@state.de.us			
Point of contact for ASC Surveys-Recovery Act Funding			
Name: Paul Hyland			
Street: 417 Federal Street			
City: Dover		State: DE	Zip: 19901
Telephone: 302-744-4705		FAX: 302-739-3071	
E-mail: paul.hyland@state.de.us			
State Hosting Agency: Name of State agency in which the survey agency is located:			
Name/Title of the Agency Head: Division of Public Health Karyl T. Rattay, MD, MS, FAAP, FACPM Division Director			
Street: 417 Federal Street			
City: Dover			
Telephone: 302-744-4818		E-mail: karyl.rattay@state.de.us	

SECTION II - STAFFING PLAN

	Category	Total # People in June 09	# FTE in June 09	Expected Additional FTE Conducting ASC Surveys (Above 6/1/09 Level)		
	Time Period			By Sept 1, 2009	By Jan. 1, 2010	By June 1, 2010
A-Health	1. ASC-Primary Surveyors	0	0	0	0	0
	2. Multiple Provider Surveyors – FTE conducting ASC Surveys	5	0.07	0	0.22	0.22
	Subtotal-Health	5	0.07	0	0.22	0.22
B-Life-Safety Code	1. ASC-only Surveyors	0	0	0	0	0
	2. Multiple Provider Surveyors – FTE conducting ASC Surveys	1	0.01	0	0	0
	Subtotal-Life-Safety Code	1	0.01	0	0.04	0.04
Grand Total	1. ASC-only Surveyors	0	0	0	0	0
	2. Multiple Provider Surveyors – FTE conducting ASC Surveys	6	0.08	0	0.26	0.26
	Grand Total-Health + LSC	6	0.08	0	0.26	0.26

Capability Expansion and Hiring Plan

- (a) The Office of Health Facilities Licensing and Certification (OHFLC) has been allowed to fill the 2 vacancies that existed for nurse surveyors. The filling of these positions will expand the OHFLC's capacity to accomplish the additional ASC work to be funded through the initiative. The OHFLC will perform 3 additional ASC surveys (1 more than required) with the funding provided.
- (b) While the State of Delaware has implemented a hiring freeze, the OHFLC has been allowed to fill vacancies. The OHFLC has recently filled 2 vacancies and expects that these new surveyors will be able to assist in the new ASC survey process. The State of Delaware has implemented a 5 day furlough program for the State fiscal year 2010. Out-of-State travel is restricted but will be approved with appropriate justification.

SECTION III – TRAINING PLAN

Please see the budget analysis in Section VI (II.A.1 & II.A.2) for the plan to train surveyors and supervisory staff in the new survey protocol. The OHFLC has access to the necessary technology for surveyors to participate in the distance learning training.

SECTION IV – SURVEY PLAN

For 2009: The OHFLC will not be participating in the survey of ASCs using the new survey process on a voluntary basis during the fourth quarter of federal FY 2009 (July, August, Sept.).

For FY 2010: The OHFLC is applying for funding to survey more than 33 percent of non-deemed, non-accredited ASCs in FY 2010. The OHFLC expects to complete 8 possible ASC surveys (allowing for 5 surveys and 3 revisits) during the Federal fiscal year 2010, performing 2 surveys per quarter as necessary.

SECTION V: BARRIERS AND PROSPECTIVE SOLUTIONS

At the present time, the OHFLC is not expecting any barriers to the implementation of our ASC survey plan. Unplanned surveys in other areas (i.e. immediate jeopardy, EMTALA, etc.) may interfere with the completion of projected surveys because of the limited staff in the OHFLC office.

SECTION VI – BUDGET ANALYSIS

Please see the budget analysis attached.

SECTION VII – SIGNATURES

The undersigned have reviewed, approved and commit to support the State survey agency in full implementation of the new survey process for Ambulatory Surgical Centers.

Most senior appointed official of the agency in which the State survey agency is located:

Signature: _____

Karyl T. Rattay, MD, MS, FAAP, FACPM
Director, Division of Public Health

[DATE]

Print Name & Title

Date

State survey agency director:

Signature: _____

Mary E. Peterson
Health Facilities Certification Officer

[DATE]

Print Name & Title

Date

SECTION VI Budgetary Analysis

Step	FY 2009	FY 2010 (See Note below)
1. ASCs: Enter the number of non-deemed ASCs	11	11
2. Surveys Done Under Regular Budget: Enter the number of surveys already done in 2009. For FY 2010, enter 16.5% of row 1.	1	2
3. Additional Surveys Expected: For <u>2009</u> , enter the number of surveys you expect to do using the new Recovery Act survey process during July-Sept 2009. For <u>2010</u> , enter at least 1/3 of the total number of non-deemed ASCs (from row 1).	N/A	4
4. Total Surveys: For 2009: Add rows 2 and 3. For 2010: enter only the number in row 3.	1	4
5. Current Hrs/Health Survey: Enter the most recent 12-month average number of hours per survey for: (a) the health portion of the survey that is (b) attributable to Medicare. However, if row 2 is less than 12 surveys, use the most recent multi-year period to generate a more reliable average.	38.5	38.5
6. New Hrs per Health Survey: We expect the health survey portion to take between 6-44 more hours compared to the current surveys, depending on how extensive your current surveys are. Pilot States in FY 2008 averaged between 37 and 63 total hours. A rule of thumb is to expect surveys to average 46 hours at first. Some States have surveys already taking more than 46 hours. In such a case, we expect the added hours to be less than for a State whose surveys currently average fewer than 46 hours. <u>Use your judgement and enter here the total hours you expect the new survey will take in your State based on the information you have on hand now. If unsure, use 46 hours.</u>	N/A	50
7. Hourly Rate: Enter the average hourly rate for health survey costs in your state that you file on the CMS cost reports (CMS-670).	\$26.30	\$26.30

I. Survey Salaries

A. Salaries for implementation of expanded survey process for 2 surveys required by the Mission and Priority Document (MPD).

1. Recertification

- a. Normal health survey process hours (average) = 38.50
- b. Enhanced health survey process hours (average) = 50.00
- c. Additional hours required for health survey = 11.50
- d. 11.50 health hours x 2 required surveys = 23 additional hours
- e. 23 additional hours at \$26.30/hour = \$604.90

2. Revisit

- a. 1 revisit due to new survey process
- b. Revisit survey hours = 30.00
- c. 30 hours x \$26.30/hour = \$789.00

B. Salaries for implementation of expanded survey process for 3 (States may request funding to survey more than one-third of their non-deemed ASCs) additional surveys required by the Centers for Medicare and Medicaid Services (CMS) memo, Ref: S&C-09-43.

1. 3 recertification health surveys

- a. 3 x 47 surveyor hours/survey = 142 hours
- b. 142 hours x \$26.30/hour = \$3,735.00

- c. 3×3 supervisory hours/survey = 9 hours
- d. $9 \text{ hours} \times \$33.457/\text{hour} = \underline{\$301.11}$
- 2. 3 recertification Life Safety Code (LSC) surveys
 - a. $3 \times 14.5 \text{ hours/survey} = 43.50 \text{ hours}$
 - b. $43.50 \text{ hours} \times \$30.00/\text{hour} = \underline{\$1,305.00}$
- 3. 2 revisit surveys
 - a. $2 \times 30 \text{ hours/survey} = 60 \text{ hours}$
 - b. $60 \text{ hours} \times \$26.30 = \underline{\$1,578.00}$
- C. Salaries for implementation of expanded survey process for 1 sample validation survey.
 - 1. Normal health survey process hours (average) = 38.50
 - 2. Enhanced health survey process hours (average) = 50.00
 - 3. Additional hours required for health survey = 11.50
 - 4. $11.50 \text{ health hours} \times 1 \text{ required surveys} = 11.50 \text{ additional hours}$
 - 5. $11.50 \text{ additional hours} \text{ at } \$26.30/\text{hour} = \underline{\$302.45}$

II. Training

A. Salaries.

- 1. On-site training in Baltimore
 - a. $3 \text{ days} \times 8 \text{ hours/day} = 24 \text{ hours}$
 - b. $2 \text{ surveyors} \times 24 \text{ hours} = 48 \text{ hours}$
 - c. $48 \text{ hours} \times \$26.30/\text{hour} = \underline{\$1,262.40}$
- 2. In-office training
 - a. $3 \text{ days} \times 8 \text{ hours/day} = 24 \text{ hours}$
 - b. $3 \text{ surveyors} \times 24 \text{ hours} = 72 \text{ hours}$
 - c. $72 \text{ hours} \times \$26.30 = \underline{\$1,893.60}$
 - d. $2 \text{ supervisors} \times 24 \text{ hours} = 48 \text{ hours}$
 - e. $48 \text{ hours} \times \$33.457 = \underline{\$1,605.94}$
- 3. Travel
 - a. 3 days for travel and accommodations = \$900.00
 - b. $2 \text{ surveyors} \times \$900.00 = \underline{\$1,800.00}$

III. Survey Travel

- A. Travel for implementation of expanded survey process for 2 surveys required by the Mission and Priority Document (MPD).
 - 1. Health Survey
 - a. $23 \text{ additional hours} \div 7.5 \text{ hours/day} = 3 \text{ days}$
 - b. $3 \text{ days} \times \$28.00/\text{day} = \underline{\$84.00}$
 - c. 1 revisit for 30 hours = 2 days
 - d. $2 \text{ days} \times \$28.00/\text{day} = \underline{\$56.00}$
- B. Travel for implementation of expanded survey process for 3 additional surveys.

1. Health Survey
 - a. 3 surveys = 150 hours
 - b. $150 \text{ hours} \div 7.50 \text{ hours/day} = 20 \text{ days}$
 - c. $20 \text{ days vehicle lease} \times \$28.00/\text{day} = \underline{\$560.00}$
 - d. 2 revisit surveys for 60 hours = 4 days
 - e. $4 \text{ days} \times \$28.00 = \underline{\$112.00}$
 - f. 2 surveys with overnight travel
 - i. $2 \text{ surveys} \times 2 \text{ nights} = 4 \text{ nights}$
 - ii. $4 \text{ nights accommodations} \times \$100.00 = \underline{\$400.00}$
2. LSC Survey
 - a. 3 surveys = 43.50 hours
 - b. $43.50 \text{ hours} \div 7.50 \text{ hours/day} = 6 \text{ days}$
 - c. $6 \text{ days vehicle lease} \times \$28.00/\text{day} = \underline{\$168.00}$

C. Travel for implementation of expanded survey process for 1 sample validation survey.

1. 1 survey = 11.50 additional hours
2. $11.50 \text{ hours} \div 7.50 \text{ hours/day} = 1.50 \text{ days}$
3. $1.50 \text{ days} \times \$28.00/\text{day} = \underline{\$42.00}$

IV. Benefits

A. Fringe

1. Total salaries = \$13,377.40
2. $26.06\% \times \$10,920.87 = \underline{\$3,486.15}$

B. Health

1. Total salaries = \$13,377.40
2. $17.07\% \times \$10,920.87 = \underline{\$2,283.52}$

V. Miscellaneous Expenses

- A. Supplies = \$107.73
- B. Communications = \$134.66
- C. Personnel Charge = \$107.12
- D. Computer Allocation Charge = \$216.32
- E. Department of Technology and Information = \$53.04
- F. Indirect Costs = \$1,407.30
- G. Audit Fee = \$48.99
- H. Association of Operating Room Nurses (AORN) membership to access clinical guidelines and standards = \$100.00

TOTAL BUDGET REQUEST = \$24,544.23